



MICHIGAN

OFFICE OF THE AUDITOR GENERAL

AUDIT REPORT



THOMAS H. MCTAVISH, C.P.A.
AUDITOR GENERAL

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– Article IV, Section 53 of the Michigan Constitution

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Michigan
Office of the Auditor General
REPORT SUMMARY

Performance Audit

*Lakeland Correctional Facility and Florence
Crane Correctional Facility
Department of Corrections*

Report Number:
47-270-05

Released:
November 2005

The mission of Lakeland Correctional Facility (LCF) and Florence Crane Correctional Facility (FCCF) is to protect society by providing a safe, secure, and humane setting for staff and prisoners. LCF opened in 1985 and has a prisoner capacity of 1,256. LCF houses security classification level II male prisoners. FCCF also opened in 1985, has a prisoner capacity of 1,056, and houses security classification level I male prisoners. LCF and FCCF are located in Coldwater, Michigan.

Audit Objective:

To assess LCF's and FCCF's compliance with selected policies and procedures related to safety and security.

Audit Conclusion:

We concluded that LCF and FCCF were generally in compliance with selected policies and procedures related to safety and security. However, we noted reportable conditions related to tool control, prisoner shakedowns, the self-contained breathing apparatus squad, and radio checks (Findings 1 through 4).

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Audit Objective:

To assess the effectiveness and efficiency of LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations.

Audit Conclusion:

We concluded that LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations were generally effective and efficient. Our report does not include any reportable conditions related to this audit objective.

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Agency Response:

Our audit report includes 4 findings and 6 corresponding recommendations. LCF's and FCCF's preliminary response indicates that they agree with the recommendations and have complied or will comply with them.

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THOMAS H. MCTAVISH, C.P.A.
AUDITOR GENERAL

November 4, 2005

Ms. Patricia L. Caruso, Director
Department of Corrections
Grandview Plaza Building
Lansing, Michigan

Dear Ms. Caruso:

This is our report on the performance audit of Lakeland Correctional Facility and Florence Crane Correctional Facility, Department of Corrections.

This report contains our report summary; description of agencies; audit objectives, scope, and methodology and agency responses and prior audit follow-up; comments, findings, recommendations, and agency preliminary responses; and a glossary of acronyms and terms.

Our comments, findings, and recommendations are organized by audit objective. The agency preliminary responses were taken from the agencies' responses subsequent to our audit fieldwork. The *Michigan Compiled Laws* and administrative procedures require that the audited agencies develop a formal response within 60 days after release of the audit report.

We appreciate the courtesy and cooperation extended to us during this audit.

Sincerely,

A handwritten signature in black ink, reading "Thomas H. McTavish".

Thomas H. McTavish, C.P.A.
Auditor General

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Description of Agencies

The mission* of Lakeland Correctional Facility (LCF) and Florence Crane Correctional Facility (FCCF) is to protect society by providing a safe, secure, and humane setting for staff and prisoners. LCF opened in 1985 and has a prisoner capacity of 1,256. LCF houses security classification level II* male prisoners. FCCF also opened in 1985, has a prisoner capacity of 1,056, and houses security classification level I* male prisoners. The security perimeters of the facilities are protected by electronically monitored chain link fences and are patrolled by alert response vehicles.

LCF and FCCF are located in Coldwater, Michigan, and are under the jurisdiction of the Department of Corrections. One warden serves as the chief administrative officer for LCF, FCCF, and Camp Branch, which are all located on the same grounds. Shared services include: business management, human resources, training, physical plant services, and warehouse services.

For fiscal year 2003-04, the operating expenditures for LCF, FCCF, and Camp Branch were approximately \$50.8 million. As of April 23, 2005, LCF and FCCF had 535 employees.

* See glossary at end of report for definition.

Audit Objectives, Scope, and Methodology and Agency Responses and Prior Audit Follow-Up

Audit Objectives

Our performance audit* of Lakeland Correctional Facility (LCF) and Florence Crane Correctional Facility (FCCF), Department of Corrections (DOC), had the following objectives:

1. To assess LCF's and FCCF's compliance with selected policies and procedures related to safety and security.
2. To assess the effectiveness* and efficiency* of LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations.

Audit Scope

Our audit scope was to examine the program and other records of Lakeland Correctional Facility and Florence Crane Correctional Facility. Our audit was conducted in accordance with *Government Auditing Standards* issued by the Comptroller General of the United States and, accordingly, included such tests of the records and such other auditing procedures as we considered necessary in the circumstances.

Audit Methodology

Our audit procedures, performed from March through May 2005, included examination of program records and activities for the period October 1, 2002 through March 31, 2005.

To establish our audit objectives and to gain an understanding of LCF and FCCF activities, we conducted a preliminary review of their operations. This included discussions with LCF and FCCF staff regarding their functions and responsibilities and examination of program records, DOC policy directives and operating procedures, and LCF and FCCF operating procedures. In addition, we reviewed self-audits*, monthly reports to the warden, community liaison committee meeting minutes, and the Commission on Accreditation for Corrections evaluation reports.

* See glossary at end of report for definition.

To assess the effectiveness of LCF's and FCCF's compliance with selected policies and procedures related to safety and security, we conducted tests of records related to firearm inventories; employee firearm qualifications; medication control; drug testing; prisoner, cell, and employee searches; and accounting for prisoners. On a test basis, we inventoried critical tools* and dangerous tools*. In addition, we reviewed security monitoring exercises and documentation of items taken into and out of the facilities. We also reviewed procedures and conducted tests of records related to fire safety activities, preventive maintenance programs, and housekeeping and sanitation inspections.

To assess the effectiveness and efficiency of LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations, we tested food service records and procedures related to Statewide menus, production, and quality evaluations. In addition, we analyzed prisoner store financial information and reviewed controls for prisoner funds and prisoner store operations.

Agency Responses and Prior Audit Follow-Up

Our audit report includes 4 findings and 6 corresponding recommendations. LCF's and FCCF's preliminary response indicates that they agree with the recommendations and have complied or will comply with them.

The agency preliminary response that follows each recommendation in our report was taken from the agencies' written comments and our discussions subsequent to our audit fieldwork. Section 18.1462 of the *Michigan Compiled Laws* and Department of Management and Budget Administrative Guide procedure 1280.02 require DOC to develop a formal response to our audit findings and recommendations within 60 days after release of the audit report.

We released our prior performance audit of the Coldwater Correctional Facilities: Florence Crane Women's Facility and Lakeland Correctional Facility, Department of Corrections (#4726097), in December 1997. LCF and FCCF had complied with 12 of the 14 prior audit recommendations. We repeated 1 prior audit recommendation in this report and rewrote 1 for inclusion in this report.

* See glossary at end of report for definition.

COMMENTS, FINDINGS, RECOMMENDATIONS, AND AGENCY PRELIMINARY RESPONSES

SAFETY AND SECURITY

COMMENT

Background: Lakeland Correctional Facility (LCF) and Florence Crane Correctional Facility (FCCF) operate under policy directives and operating procedures established by the Department of Corrections (DOC) in addition to operating procedures that were developed by LCF and FCCF. These policies and procedures were designed to have a positive impact on the safety and security of LCF and FCCF as well as to help ensure that prisoners receive proper care and services. The procedures address many aspects of LCF and FCCF operations, including key, tool, and firearm security; prisoner, visitor, employee, and housing unit searches; prisoner counts; fire safety, preventive maintenance, and disaster planning; and food, medical, and educational services. Although compliance with these procedures contributes to a safe and secure facility, the nature of the prison population and environment is unpredictable and inherently dangerous. Therefore, compliance with the procedures will not entirely eliminate the safety and security risks.

Audit Objective: To assess LCF's and FCCF's compliance with selected policies and procedures related to safety and security.

Conclusion: We concluded that LCF and FCCF were generally in compliance with selected policies and procedures related to safety and security. However, we noted reportable conditions* related to tool control, prisoner shakedowns*, the self-contained breathing apparatus (SCBA) squad, and radio checks (Findings 1 through 4).

FINDING

1. Tool Control

LCF did not complete all required weekly tool inventory reports and needs to update its master tool inventory list. In addition, FCCF did not complete required monthly tool inspection reports.

Accounting for tools and locating misplaced tools in a timely manner help ensure the safety and security of staff and prisoners. Proper control over the tool inventory helps ensure that all critical and dangerous tools are accounted for and that any lost or misplaced tools are detected and recovered in a timely manner.

* See glossary at end of report for definition.

DOC policy directive 04.04.120 requires the tool control officer to maintain a complete and up-to-date master tool inventory list. This policy directive also requires that the tool control officer perform monthly tool inspections of each tool storage area and that work area supervisors submit weekly tool inventory reports to the tool control officer. LCF has 84 and FCCF has 60 tool locations that have to be inventoried weekly.

We reviewed tool records and inventoried 17 tool locations and noted:

- a. Seventy-three (22.0%) of 332 LCF required weekly tool inventory reports for September 2004 were not submitted by work area supervisors.
- b. The FCCF tool control officer had not completed any of the monthly tool inspection reports for the period January 2004 through February 2005.
- c. We located four knives in the food technology unit that were not on LCF's master tool inventory list. In addition, four tools, including a knife sharpener and a pair of scissors, had been removed from tool storage areas but the master tool inventory list had not been properly updated.

RECOMMENDATIONS

We recommend that LCF complete all required weekly tool inventory reports and update its master tool inventory list.

We also recommend that FCCF complete required monthly tool inspection reports.

AGENCY PRELIMINARY RESPONSE

LCF agrees and informed us that it will comply by ensuring that all required weekly tool inventory reports are submitted. LCF informed us that it also will ensure that the master tool inventory list is updated.

FCCF agrees and informed us that it will comply. FCCF informed us that it has instructed the tool control officer to ensure compliance with the monthly tool inspection requirements.

FINDING

2. Prisoner Shakedowns

LCF did not ensure that all corrections officers performed and documented the required number of prisoner shakedowns.

Conducting the required number of prisoner shakedowns improves a facility's likelihood of detecting and confiscating contraband* and improves the safety and security of staff and prisoners.

DOC policy directive 04.04.110 requires non-housing unit corrections officers with direct prisoner contact to perform five prisoner shakedowns per day and to document them in the appropriate logbook.

Our review of prisoner shakedown records for 59 days in January and February 2005 disclosed that a daily average of 2.3 (13.9%) of 16.5 LCF corrections officers, assigned to positions with direct prisoner contact, did not complete any of the required daily minimum of five prisoner shakedowns.

RECOMMENDATION

We recommend that LCF ensure that all corrections officers perform and document the required number of prisoner shakedowns.

AGENCY PRELIMINARY RESPONSE

LCF agrees and informed us that it has complied. LCF informed us that a new prisoner shakedown form has been implemented to ensure that prisoner shakedown information is recorded consistently on all shifts. LCF also informed us that an assistant shift commander has been assigned the duties of monitoring prisoner shakedowns and taking corrective measures when needed.

FINDING

3. Self-Contained Breathing Apparatus (SCBA) Squad

LCF did not ensure that all corrections officers were properly qualified in the use of SCBA equipment prior to assigning them to the SCBA squad. Also, LCF did not

* See glossary at end of report for definition.

ensure that corrections officers performed and documented required inspections of the SCBA equipment.

Because LCF did not always assign staff properly qualified in the use of SCBA equipment to the SCBA squad, LCF did not have assurance that adequate safety precautions existed in the event of a prison disturbance or fire. Also, the documented completion of all required inspections helps ensure that the equipment will function properly when needed.

LCF operating procedure 04.03.120-H requires that 5 corrections officers who are properly qualified in the use of SCBA equipment be assigned to the SCBA squad each shift. The operating procedure requires that corrections officers requalify semi-annually in the use of the SCBA equipment. This operating procedure also requires that a corrections officer perform weekly inspections of the SCBA equipment to ensure that the equipment is operational and ready for use.

Our review of records related to SCBA qualifications and inspections disclosed:

- a. For 26 days tested in January and February 2005, 48 (48.5%) of 99 corrections officers assigned to the SCBA squad were not currently qualified in the use of the SCBA equipment.
- b. LCF did not have documentation that it performed 40 (50.0%) of 80 required weekly SCBA equipment inspections for fiscal years 2003-04 and 2004-05.

We noted similar circumstances regarding SCBA qualifications in our prior audit and LCF responded that it agreed and would comply.

RECOMMENDATIONS

WE AGAIN RECOMMEND THAT LCF ENSURE THAT ALL CORRECTIONS OFFICERS ARE PROPERLY QUALIFIED IN THE USE OF SCBA EQUIPMENT PRIOR TO ASSIGNING THEM TO THE SCBA SQUAD.

We also recommend that LCF ensure that corrections officers perform and document required inspections of the SCBA equipment.

AGENCY PRELIMINARY RESPONSE

LCF agrees and informed us that it has complied. LCF informed us that the shift commanders have been instructed to ensure that staff who are assigned to the SCBA squad are qualified in the use of the equipment. LCF also informed us that the afternoon shift yard sergeant has been assigned the duties of performing and documenting the required inspections of SCBA equipment. In addition, LCF informed us that the assistant deputy warden of custody monitors compliance with the requirements for SCBA.

FINDING

4. Radio Checks

LCF and FCCF did not ensure that all required radio checks of corrections officers were conducted.

Periodic contact with corrections officers ensures that radio equipment is in working order and helps ensure the safety of the officers and prisoners.

DOC policy directive 04.04.100 requires that an officer assigned to the base station conduct radio checks with officers assigned to single staff assignments every hour during daylight hours and every half hour during hours of darkness.

Radio checks at LCF and FCCF are to be conducted by officers assigned to the bubble* or control center*.

Our review of radio check records for 7 days tested in March 2005 disclosed:

- a. Radio checks were not conducted at LCF for 76 (72.4%) of 105 required times for the night shift and 31 (26.1%) of 119 required times for the morning and afternoon shifts. During our test period, a daily average of 33 corrections officers on the night shift and 81 corrections officers on the morning and afternoon shifts were assigned to positions requiring radio checks.

* See glossary at end of report for definition.

- b. Radio checks were not conducted at FCCF for 42 (75.0%) of 56 total required times for the morning shift. During our test period, a daily average of 31 corrections officers on the morning shift were assigned to positions requiring radio checks.

RECOMMENDATION

We recommend that LCF and FCCF ensure that all required radio checks of corrections officers are conducted.

AGENCY PRELIMINARY RESPONSE

LCF and FCCF agree and informed us that they have complied. LCF informed us that a new radio check sheet has been implemented so that radio checks are recorded using the same format. LCF also informed us that the control center supervisor is responsible for ensuring that radio checks are completed and corrective measures are taken if noncompliance issues arise. FCCF informed us that the bubble officer performs the required half hour or hourly radio checks and submits a radio check form to the shift commander who monitors compliance.

FOOD SERVICE OPERATIONS, PRISONER ACCOUNTS, AND PRISONER STORE OPERATIONS

COMMENT

Audit Objective: To assess the effectiveness and efficiency of LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations.

Conclusion: We concluded that LCF's and FCCF's food service operations, prisoner accounts, and prisoner store operations were generally effective and efficient. Our report does not include any reportable conditions related to this audit objective.

GLOSSARY

Glossary of Acronyms and Terms

bubble	Central point of entry into and exit from the facility.
contraband	Property that is not allowed on facility grounds or in visiting rooms by State law, rule, or DOC policy. For prisoners, this includes any property that they are not specifically authorized to possess, authorized property in excessive amounts, or authorized property that has been altered without permission.
control center	Central area of communication for the facility. The control center has contact with all officers by radio and loudspeaker.
critical tools	Items designated specifically for use by employees only or for use or handling by a prisoner while under direct employee supervision. Critical tools shall be stored only in a secure area and shall be accounted for at all times.
dangerous tools	Items that may be used or handled by prisoners while under indirect employee supervision. Dangerous tools shall be stored only in a secure area and shall be accounted for at all times.
DOC	Department of Corrections.
effectiveness	Program success in achieving mission and goals.
efficiency	Achieving the most outputs and outcomes practical with the minimum amount of resources.
FCCF	Florence Crane Correctional Facility.
LCF	Lakeland Correctional Facility.

level I	The classification assigned to prisons that house prisoners who can live in facilities with a minimal amount of security. These prisoners are normally relatively near parole, are not serving for a sexual offense, and have no history of certain kinds of arson behavior.
level II	The classification assigned to prisons that house prisoners who generally have longer sentences than do level I prisoners, who need more supervision but who are not likely to escape or who are not difficult to manage. This classification is low medium, and generally covers open barracks-style housing.
mission	The agency's main purpose or the reason that the agency was established.
performance audit	An economy and efficiency audit or a program audit that is designed to provide an independent assessment of the performance of a governmental entity, program, activity, or function to improve public accountability and to facilitate decision making by parties responsible for overseeing or initiating corrective action.
reportable condition	A matter that, in the auditor's judgment, represents either an opportunity for improvement or a significant deficiency in management's ability to operate a program in an effective and efficient manner.
SCBA	self-contained breathing apparatus.
self-audits	Audits performed by facility staff that enable management and staff to ensure that all operational units comply with policy directives and take proactive steps to correct any noncompliance. Performing self-audits is intended to maximize safe and efficient operations by DOC.

shakedown

The act of searching a prisoner, an employee, or a visitor to ensure that he/she does not have any contraband in his/her possession.

